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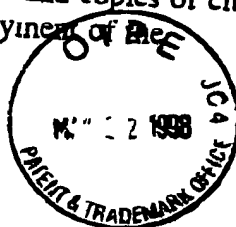
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Paper: Transmittal letter (in trip.) with 1st class mail cert.;  
Petition to Make Special for New Application; Declaration by  
Attorney in Support of Petition to Make Special; Information  
Disclosure Statement including Form PTO-1449 and copies of cited  
references; check in the amount of \$130 for payment of the  
Petition Fee.

Applicant(s): Shimon Gruper et al.  
Title: Software Application Environment  
Serial No.: 08/937,883  
Filed: 9/25/97  
Docket No.: COLB-0083  
Date Sent: May 20, 1998



JWC/LAA (Joan Macklin)



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DOCKET NO.: COLB-0083

PATENT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re patent application of:

**Shimon Gruper et al.**

Serial No.: 08/937,883

Group No.: 2785

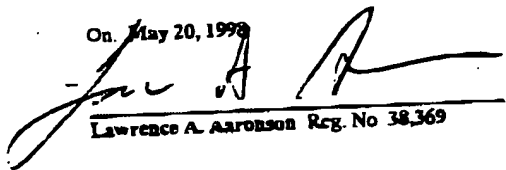
Filed: September 25, 1997

Examiner: Not Yet Assigned

For: **Software Application Environment**

I, Lawrence A. Aaronson, Registration No. 38,369 certify that this correspondence is being deposited with the U S Postal Service as First Class Mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D C. 20231

On: May 20, 1998

  
Lawrence A. Aaronson Reg. No 38,369

Assistant Commissioner for Patents  
Washington DC 20231

Sir:

**TRANSMITTAL LETTER**

Transmitted herewith are the following:

- (XX) Petition to Make Special for New Application.
- (XX) Declaration by Attorney in Support of Petition to Make Special Because of Actual Infringement under 37 CFR 1.102 and MPEP § 708.02
- (XX) Information Disclosure Statement containing a detailed discussion of the references deemed most closely related to the subject matter of the claims and a Form PTO-1449 with attachments.
- (XX) Small entity status of this application under 37 CFR 1.9 and 1.27 has been established by a verified statement previously submitted.

**DOCKET NO.: COLB-0083****PATENT**

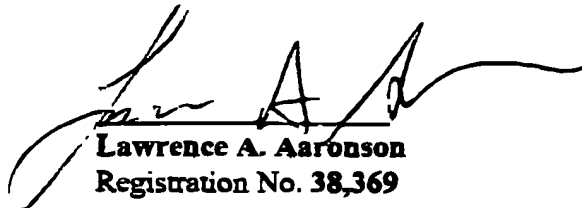
- ☐ A verified statement claiming small entity status under 37 CFR 1.9 and 1.27 is enclosed.
- ☐ Statement to Support Filing and Submission of DNA/Amino Acid Sequences in Accordance with 37 CFR §§ 1.821 through 1.825.
- ☐ No additional fee is required.
- ☐ Please charge my Deposit Account No. 23-3050 in the amount of \$\_\_\_. This sheet is attached in triplicate.
- ☒ A check in the amount of \$130.00 is attached for payment of the Petition fee. Please charge any deficiency or credit any overpayment to Deposit Account No. 23-3050.
- ☒ The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 23-3050. This sheet is attached in triplicate.
  - ☒ Any additional filing fees required under 37 CFR 1.16 including fees for presentation of extra claims.
  - ☒ Any additional patent application processing fees under 37 CFR 1.17 and under 37 CFR 1.20(d).
- ☒ The Commissioner is hereby authorized to charge payment of the following fees during the pendency of this application or credit any overpayment to Deposit Account No. 23-3050. This sheet is attached in triplicate.
  - ☒ Any patent application processing fees under 37 CFR 1.17 and under 37 CFR 1.20(d).
- ☐ The issue fee set in 37 CFR 1.18 at or before mailing of the Notice of Allowance, pursuant to 37 CFR 1.311(b).

**DOCKET NO.: COLB-0083**

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(XX) Any filing fees under 37 CFR 1.16 including fees for presentation of extra claims.

Date: May 20, 1998



**Lawrence A. Aaronson**  
Registration No. 38,369

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**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re patent application of:

**Shimon Gruper et al.**

Serial No.: 08/937,883

Group No.: 2785

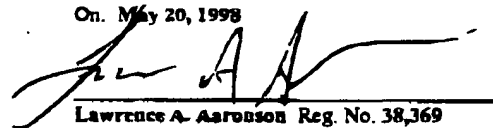
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Examiner: Not Yet Assigned

For: **Software Application Environment**

I, Lawrence A. Aaronson, Registration No. 38,369 certify that this correspondence is being deposited with the U S Postal Service as First Class Mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D C. 20231.

On: May 20, 1998



Lawrence A. Aaronson Reg. No. 38,369

Assistant Commissioner for Patents  
Washington DC 20231

Sir:

**PETITION TO MAKE SPECIAL BECAUSE OF ACTUAL INFRINGEMENT UNDER  
37 CFR 1.102 AND MPEP § 708.02**

Applicants hereby petition to make this application special because of actual infringement. Accompanying this petition are the following:

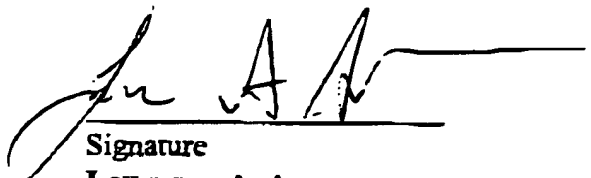
- (a) Declaration by Attorney in Support of Petition to Make Special Because of Actual Infringement;
- (b) an Information Disclosure Statement; and
- (c) Fee under 37 CFR 1.17(i).

**DOCKET NO.: COLB-0083**

**PATENT**

The fee required is to be paid by the attached check in the amount of \$130.00. Please charge any deficiency or credit any overpayment to Deposit Account No. 23-3050.

Date: May 20, 1998



Signature

**Lawrence A. Aaronson**

**Registration No. 38,369**

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent application of:

**Shimon Gruper et al.**

Serial No.: 08/937,883

Group No.: 2785

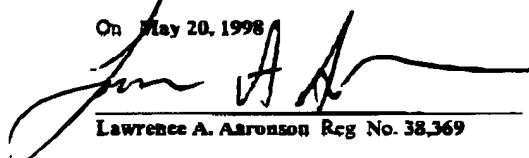
Filed: September 25, 1997

Examiner: Not Yet Assigned

For: **Software Application Environment**

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On May 20, 1998



Lawrence A. Aaronson Reg No. 38,369

Assistant Commissioner for Patents  
Washington DC 20231

Sir:

**DECLARATION BY ATTORNEY IN SUPPORT OF PETITION TO MAKE SPECIAL  
BECAUSE OF ACTUAL INFRINGEMENT UNDER 37 CFR 1.102 AND MPEP § 708.02**

I, Lawrence Aaronson, Registration No. 38,369, of Woodcock Washburn Kurtz Mackiewicz & Norris LLP, One Liberty Place, 46<sup>th</sup> Floor, Philadelphia, PA 19103, am the attorney for the applicant in this case and make the following declarations:

1. I have made a rigid comparison of the alleged infringing

X device

**DOCKET NO.: COLB-0083****PATENT**X product— method

referred to in the accompanying documentation entitled "Secure4U Overview" found on the Internet at <http://www.acrmain.com/Products/Secure4U/overview.htm>. As described in the documentation, Secure4U prevents hostile applets (e.g., ActiveX, Java and other executable code) from accessing computer resources by building a closed environment (sandbox) around a web browser. According to the documentation, by building a sandbox, all accesses of the web browser to system resources, such as device drivers, the registry database and the file system are shielded and monitored to protect the privacy and integrity of the system. Other applications running on the computer are unaffected by Secure4U. Further, according to the documentation, Secure4U checks all incoming and outgoing HTTP commands for compliance with its configuration. Secure4U additionally is described as protecting against unwanted access to Telnet and Email ports.

2. That, in my opinion, at least independent claims 1-3, 8, 9, 13-17 on file in this application are unquestionably infringed.

Each of claims 1-3, 8, 15-16 are generally directed to an apparatus to protect the integrity of a computer that identifies areas of the computer to which the application has access and prohibits access to areas of the computer to which the application is not authorized to access. Claim 9 is directed to prevent unauthorized data from being sent to the protected network. Claims 13-14, 17 and 18 are directed to protecting the integrity of a computer by controlling the access

DOCKET NO.: COLB-0083

PATENT

authorization of programs called by other programs within the computer system. Access authorization to the various protected areas of the computer is on an application-specific basis, i.e., authorization is set based on the application running on the computer.

3.

I

- ☐ have made a search of
- ☒ have caused to be made a search of
- ☐ have a knowledge of

the pertinent prior art. In particular, a search of DIALOG® File 351 (Derwent World Patents Index) was conducted utilizing various combinations of keywords. The keywords included, *inter alia*: software, file access, protect, infect, virus, storage, control, eliminate, trap, detect, valid, damage, boot, program, disc, verification, integrity, and EEPROM has been performed. All such material art is provided to the Examiner as

- ☐ having been filed
- ☐ being supplemented
- ☒ being filed

in a respective Information Disclosure Statement.

4.

That I believe all the claims in this application

- ☒ as on file

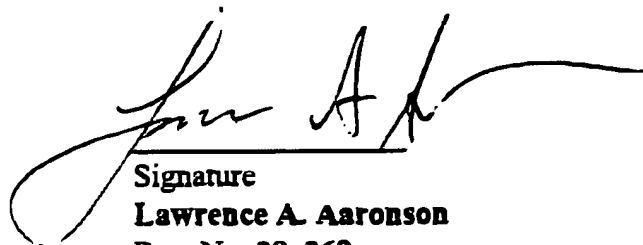
**DOCKET NO.: COLB-0083****PATENT**

— as on file resulting from the attached amendment

are allowable as none of the references noted in the attached Information Disclosure Statement discloses the claimed feature of controlling access to a computer system in accordance with an application running on the computer system. That is, none of the references teaches controlling access to the computer based on the applications themselves.

5. I declare further that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Date: May 20, 1998



Signature  
**Lawrence A. Aaronson**  
Reg. No. 38, 369

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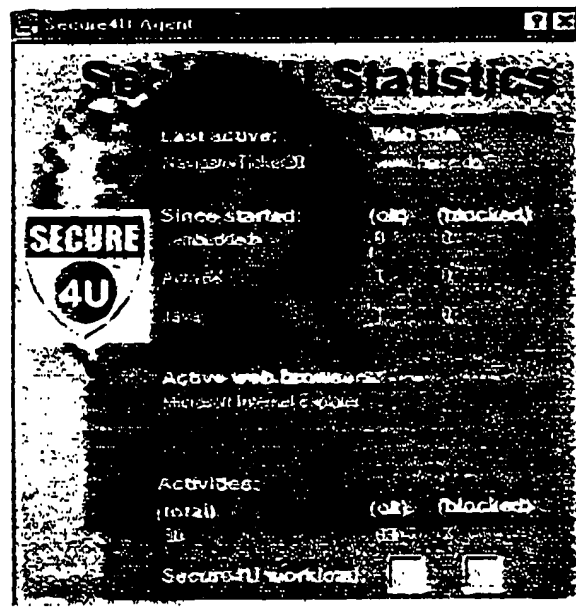
## Secure4U Overview



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### Introduction

While today almost every site on the Internet is using Active content to enhance its presence, new security issues are arising. Active content can be described as extensions to build additional capabilities into the web browsers (e.g. menus, spreadsheets or animations). To create active content, new types of executables (ActiveX, Java) are used in binary form. If your web browser finds a reference in the page you are viewing, it automatically downloads the active content (often from unknown or untrusted sources) and executes the code.



The active content arriving at your machine might include malicious or hostile code which can damage resources on your computer, snoop into your computer or network for files or information, or make your computer unusable for your daily work.

To protect you against these kind of attacks classic Firewalls acting as Gateways for your network do not address these security threats.

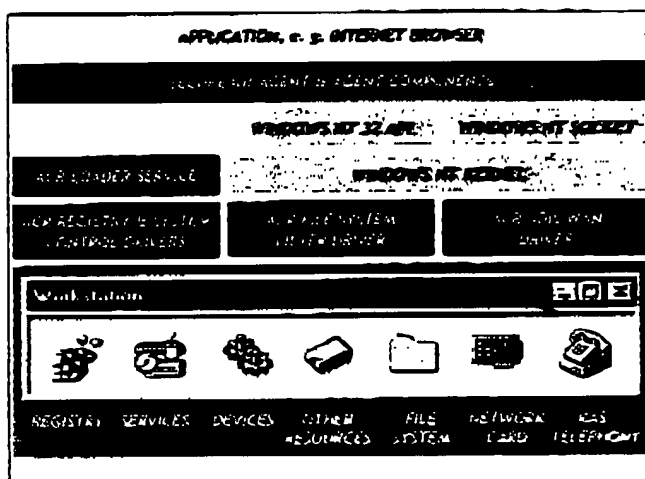
**Secure4U stops any kind of hostile applets (known and unknown)**

**Secure4U continues to be the only available security solution to protect workstations and networks against attacks from any kind of active content (ActiveX, Java and other executable code) received from the Internet or other untrusted domains.**

## Secure4U creates a sandbox around your web browsers

**Secure4U creates a closed environment (sandbox) around your web browser to restrict access to any of your computer's resources.**

By building a sandbox around your web browser Secure4U is not limited to specific or known types of active content e.g. Java or ActiveX, and can monitor and block any suspicious or unwanted action initiated by the web browser before they can damage anything.



## All your computing resources are protected

**All accesses of your web browser to system resources like devices, drivers, the registry database (all your configurations) and the file system are shielded and constantly monitored to protect your privacy and the integrity of your system while connected to the Internet.**

## Securely use the latest web technologies

After installation Secure4U users gain immediate protection of their computing resources, allowing them to use the latest web technologies without jeopardizing their computer and/or network security. Secure4U fully integrates into existing network security solutions and extends them with a new security perimeter

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## Overview Part II

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### How and against what does Secure4U protect

Secure4U can protect your computer against any known and unknown active content of any type.

Within the closed environment (sandbox) Secure4U creates around your web browser any code or active content can run as long it does not try to access resources outside this secured area. Any action issued by the web browser is closely monitored and if it extends the set environment blocked, monitored or the user is alerted.

While Secure4U checks all actions and accesses to resources and only suspicious or unwanted actions are restricted.

Any other application within your user environment can run and access resources without being restricted by Secure4U.

Secure4U transparently layers into your operating system and fully integrates into existing network security solutions.

### Protection of system resources and data

Secure4U protects the following resources within your computer against unwanted and suspicious accesses and changes:

- **The Registry**  
Within the registry database MS Windows 95 and MS Windows NT save all system and application configurations. If a hostile applet changes settings within the registry database, it might leave applications or your whole system unusable. By changing the registry database a hostile applet can also gain unwanted access to resources on your computer.
- **Access to services**  
Secure4U monitors all access to system services issued from your web browser. By changing setting of particular services, stopping services or accessing certain services a hostile applet can make your computer unusable or gain unwanted access to resources or data.
- **Access to devices**  
By changing setting of your system devices or accessing them a hostile applet can make your system unusable or block access to these devices.

- **Access to the file system**

By accessing the file system an applet gains access to all your data and files. Secure4U restricts access to the file system based on its configuration. You will typically set a directory for saving information received from the Internet and block access to all other areas for your web browser.

- **Access to your local area network**

When a hostile applet access your LAN it can gain access to all network resources and files you have access to. Secure4U closely monitors all access to network resources issued by your web browser and by default will block all accesses.

- **Access and monitoring of IP ports**

Any use of IP ports by your web browser is monitored by Secure4U. By using certain IP ports an applet could email information to the Internet or create a Telnet session.

## **Monitoring and managing active content**

With Secure4U you can monitor all installed applets on your computer. You see when a new applet comes on board and when applets become active. You can find out who created the applet, from which site it was downloaded and how it interfaces with your system. Any installed applet can also be deleted.

## **Database with hostile applet references**

As an additional security feature we have added a database with references of hostile applets to Secure4U. When an applet comes on board it is automatically checked against the entries within this database. If Secure4U finds a reference for the applet it will issue an additional warning to the user or automatically block the starting of the applet.

## **Communication monitoring**

Secure4U checks all incoming and outgoing HTTP command for compliance with its configuration. By issuing certain HTTP command in combination with other activities a hostile applet or site can steal information from your computer. Secure4U also checks access to Telnet and email ports to block unwanted access, use or sending of email.

## **Logging of web browser activities**

Any activity of your web browser is displayed in the Secure4U activity window and can be saved to the MS Windows NT application log file. You can configure Secure4U to log all activities, or only monitored, blocked and alerted activities to the MS Windows NT application log. These log files can then be accessed with the MS

Windows Event viewer.

---

[Overview Part I](#)

[Components of  
Secure4U](#)

### Further information:

- [Components of Secure4U](#)
- [What can happen if I don't protect my computer](#)
- [Program requirements](#)
- [Feature list](#)
  
- [Back to Overview Part I](#)
  
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On May 20, 1998

Lawrence A. Aaronson Reg. No. 38,369

Assistant Commissioner for Patents  
Washington DC 20231

Sir:

INFORMATION DISCLOSURE STATEMENT

As this Information Disclosure Statement is part of a Petition to Make Special, a detailed explanation of the references as required by 37 CFR 1.111 is included herein (MPEP § 708.02(VIII)). Applicants hereby call the following reference to the attention of the Examiner:

(1) United States Patent No. 5,144,660, to Rose, issued on September 1, 1992.

Rose discloses a method of protecting a computer against undesired read/write operations by incorporating logic circuitry which is connected to a bus between a controller and the mass storage device.

**DOCKET NO.: COLB-0083****PATENT**

(2) Japanese Patent Publication No. 8-44630, published on February 16, 1996. JP 8-44630 discloses a system that is user specific and stores information about the user. Access is based in accordance with the user.

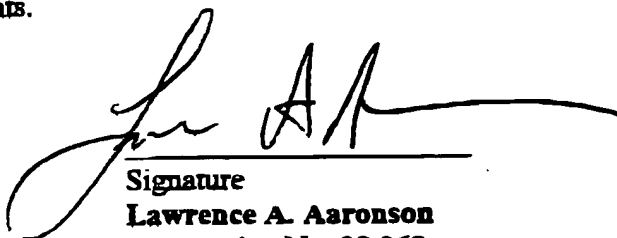
(3) DE 42 25 345 A1, published February 2, 1994. DE 42 25 345 discloses a process to restrict certain types of memory access to authorized service programs.

(4) WO 93/09498, published May 13, 1993. WO 93/09498 teaches a method of protection based on defining currently active programs and their associated files. Access attempts to stored material not part of the currently defined program are treated with a great deal of suspicion.

(5) FR 2 629 231, published September 29, 1989. FR 2 629 231 teaches physically locking the boot area of the hard disk and other regions of the operating system.

Copies of each of the references listed on the attached Form PTO-1449 are enclosed herewith. The Examiner is requested to indicate consideration of the references by initialing the appropriate spaces on the attached Form PTO-1449 and returning a copy of the same with the next official communication to the Applicants.

Date: May 20, 1998



Signature  
Lawrence A. Aaronson  
Registration No. 38,369

WOODCOCK WASHBURN KURTZ  
MACKIEWICZ & NORRIS LLP  
One Liberty Place - 46th Floor  
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